

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Jokerst, et al.

Serial No. To be assigned

Filing Date:

Examiner: To be assigned

Docket No. 062004-1211

Group Art Unit: To be assigned

For: **SYSTEM AND METHOD FOR BI-DIRECTIONAL OPTICAL  
COMMUNICATION USING STACKED EMITTERS AND DETECTORS**

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

This information disclosure statement is filed in accordance with 37 C.F.R. §§ 1.56, 1.97, and 1.98. Listed on the accompanying form PTO-1449 are documents which may or may not be considered material to the examination of this application. Some of these documents were made of record in a prior application filed August 26, 1999 and having serial no. 09/384,112, to which priority is claimed relative to the present application pursuant to 35 U.S.C. §120.

The following rights are reserved by the Applicant(s): the right to establish the patentability of the claimed invention over any of the listed documents should they be applied as reference, the right to prove that some of these documents may not be prior art, and/or the right to prove that some of these documents may not be enabling for the teachings they purport to offer.

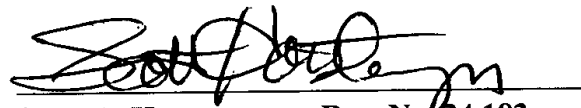
This statement should not be construed as a representation that an exhaustive search has been made, or that information more material to the examination of the present application does not exist. The Examiner is specifically requested not to rely solely on the materials submitted herewith. The Examiner is requested to conduct an independent and thorough review of the documents, and to form independent opinions as to their significance.

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449 to indicate the documents have been considered.

Respectfully submitted,

**THOMAS, KAYDEN, HORSTEMEYER  
& RISLEY, L.L.P.**

By:

  
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Docket: 062004-1211  
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| Form PTO-1449                            |  |  |  |  | Attorney Docket No.<br><b>062004-1211</b> |  | Serial No.<br><b>To be assigned</b> |  |
| <b>INFORMATION DISCLOSURE CITATION</b>   |  |  |  |  | Applicant<br><b>Jokerst, et al.</b>       |  |                                     |  |
| <i>(Use several sheets if necessary)</i> |  |  |  |  |   |  |                                     |  |
|  |  |  |  |  | Filing Date                               |  | Group<br><b>To be assigned</b>      |  |

| U.S. PATENT DOCUMENTS |      |                 |          |                  |       |          |                            |
|-----------------------|------|-----------------|----------|------------------|-------|----------|----------------------------|
| Examiner Initials     | Item | Document Number | Date     | Name             | Class | Subclass | Filing Date If Appropriate |
|                       | A    | 4,403,825       | 9-13-83  | Tangonan, et al. | 350   | 96.11    | 11-14-80                   |
|                       | B    | 4,422,181       | 12-20-83 | Grafton, et al.  | 455   | 606      | 8-26-80                    |
|                       | C    | 4,493,113       | 1-8-85   | Forrest, et al.  | 455   | 606      | 9-10-82                    |
|                       | D    | 4,611,884       | 9-16-86  | Roberts          | 350   | 96.15    | 11-24-82                   |
|                       | E    | 4,705,346       | 11-10-87 | Miyawaki         | 350   | 96.14    | 5-13-85                    |
|                       | F    | 4,773,722       | 9-27-88  | Perino           | 350   | 96.18    | 11-22-83                   |
|                       | G    | 4,775,971       | 10-4-88  | Bergmann         | 370   | 3        | 3-24-86                    |
|                       | H    | 4,890,895       | 1-2-90   | Zavracky, et al. | 350   | 96.20    | 11-13-87                   |
|                       | I    | 5,347,601       | 9-13-94  | Ade, et al.      | 385   | 3        | 3-29-93                    |
|                       | J    | 5,357,363       | 10-18-94 | Li, et al.       | 359   | 161      | 6-24-63                    |
|                       | K    | 5,400,419       | 3-21-95  | Heinen           | 385   | 14       | 12-3-93                    |

| FOREIGN PATENT DOCUMENTS |   |                 |      |         |       |          |             |
|--------------------------|---|-----------------|------|---------|-------|----------|-------------|
|                          |   | Document Number | Date | Country | Class | Subclass | Translation |
|                          |   |                 |      |         |       |          | Yes    No   |
|                          | L |                 |      |         |       |          |             |
|                          | M |                 |      |         |       |          |             |
|                          | N |                 |      |         |       |          |             |
|                          | O |                 |      |         |       |          |             |

| OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, etc.)</i> |   |   |
|---|---|---|
|   | P | Hamilton, et al. "Basic Integrated Circuit Engineering", 1975, Pages 96-99.   |
|   | Q | Vendier, et al. "High Efficiency Thin-Film GaAs-based MSM Photodetectors", Electronics Letters, 15th, February, 1996, Vol. 32, No. 4, Pages 394-395.  |
|   | R | Jokerst, et al. "Thin-Film Multimaterial Optoelectronic Integrated Circuits", IEEE Transactions on Components Packaging & Manufacturing Technology-Part B, Vol. 19, No. 1, February 1996, Pages 97-106. |

\* EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

|                       |                  |
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| Examiner Initials     | Item | Document Number | Date     | Name                  | Class | Subclass | Filing Date If Appropriate |
|                       | S    | 5,424,860       | 6-13-95  | Mihara                | 359   | 152      | 11-9-93                    |
|                       | T    | 5,546,212       | 8-13-96  | Kunikane, et al.      | 359   | 163      | 10-18-94                   |
|                       | U    | 5,818,984       | 10-6-98  | Ahmad, et al.         | 385   | 14       | 11-18-96                   |
|                       | V    | 5,914,976       | 6-22-99  | Jayaraman, et al.     | 372   | 50       | 1-8-97                     |
|                       | W    | 6,097,521       | 8-1-00   | Althaus, et al.       | 359   | 143      | 3-30-99                    |
|                       | X    | 6,188,495       | 2-13-01  | Inoue, et al.         | 359   | 152      | 11-21-97                   |
|                       | Y    | 6,281,999       | 8-28-01  | Watson, et al.        | 359   | 152      | 7-9-98                     |
|                       | Z    | 6,301,035       | 10-9-01  | Schairer              | 359   | 152      | 6-25-98                    |
|                       | aa   | 6,320,686       | 11-20-01 | Schairer              | 359   | 152      | 6-25-98                    |
|                       | bb   | 6,353,491       | 3-5-02   | Tanaka, et al.        | 359   | 152      | 8-20-98                    |
|                       | cc   | 6,437,891       | 8-20-02  | Chandrasekhar, et al. | 359   | 152      | 10-27-98                   |
|                       | dd   | 6,603,584       | 8-5-03   | Jokerst, et al.       | 359   | 152      | 8-26-99                    |

| FOREIGN PATENT DOCUMENTS |    |                 |      |         |       |          |             |
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|                          |    | Document Number | Date | Country | Class | Subclass | Translation |
|                          |    |                 |      |         |       |          | Yes    No   |
|                          | ee |                 |      |         |       |          |             |
|                          | ff |                 |      |         |       |          |             |
|                          | gg |                 |      |         |       |          |             |
|                          | hh |                 |      |         |       |          |             |

| OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, etc.)</i> |  |
|---|--|
| ii  | Vendier, et al. "Thin-Film Inverted MSM Photodectors", IEEE Photonics Technology Letters, Vol. 8, No. 2, February, 1996.   |
| jj  | Vendier, et al. "Stacked Silicon CMOS Circuits with a 40-Mb/s Through-Silicon Optical Interconnect", IEEE Photonics Technology Letters, Vol. 10, No. 4, April 1998, Pages 606-608. |
| kk  |  |

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